

Accredited Standards Committee
X3, INFORMATION PROCESSING SYSTEMS*

X3T9.2/87-124
X3/87-06-090-X,I,S,M,T

Doc. No.:

June 15, 1987

Date:

Project:

Ref. Doc.:

Reply to:

TO: Members, X3, IAC, SPARC, SMC
Officers of X3/TC's, SC's and SPARC/SG's
(FOR RETRANSMITTAL TO YOUR PARTICIPANTS)


SUBJECT: Transmittal of Revision 1 to SD-2, Organization and
Procedures

Attached is the ANSI approval of our first revision to the SD-2. This document was approved by X3, CBEMA and reviewed by ANSI to determine the impact on our accreditation and whether we would need to reapply. As you can see, ANSI does not feel that these changes, which reflect the methods of operation we have been using for the past two years, have in fact, impacted our procedures causing them to deviate from the ANSI model procedures.

Please insert these into your GREEN SD-2 as soon as possible. Remember, the key to keeping these on white paper is to serve as a flag to revisions. Please retransmit to your TC and TG mailing recipients with your next mailing.

The first one is always the hardest. Revision 2 is in the works and should be forwarded to ANSI soon. SMC Chairman Shoemaker has determined that the committee will be much more strict about "freezing" the various revisions and thus transmitting them in a much quicker timeframe. Revision 3 items will be discussed at the next SMC meeting and we will begin the processing steps.

Special thanks to those members of SMC who have assisted in the procedures process. It is a long, arduous task and those people who have contributed are to be admired.


Catherine A. Kachurik
Director, X3 Secretariat

Attachment: REV. 1, dated March 1987, to SD-2

*Operating under the procedures of The American National Standards Institute.



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June 12, 1987

Ms. C. A. Kachurik
CBEMA
311 First Street, N.W.
Suite 500
Washington, D.C. 20001-2178

Dear Cathi;

This will respond to your letter of May 17, 1987 to Anita Meola with regard to Revision 1 to the X3 Organization and Procedures.

We are in agreement with you that this particular set of changes reflects the internal structure of X3. Accordingly it appears to us that these changes are not substantive with respect to ANSI criteria for the accreditation of Standards Committee X3.

We look forward to the receipt of the additional changes you mentioned.

Very truly yours

M. A. Pisciotto

MAP/5024D

Copy: Exsc Subcommittee
on Accreditation
Frances Schrotter

2.1 X3 STANDARDS PLANNING AND REQUIREMENTS COMMITTEE (SPARC)

2.1.1 Scope

SPARC is an advisory committee to X3 on new domestic and international standards, standards requirements, and review of proposed standards. SPARC also manages the standardization process within the TCs. It considers the functional and economic, rather than the detailed technical, aspects of standardization. Its scope includes the requirements to:

- a. Evaluate the needs for systems of standards within the scope of X3.
- b. Initiate, analyze, and make recommendation on proposed newly proposed or revised standards projects.
- c. Audit the progress of standards development from a functional and economic point of view, monitoring target dates, etc.
- d. Review proposed standards, at the time of their submission to X3, for their conformance to the original objectives.
- e. Provide the functions of the "TC" when no appropriate subgroup exists.

2.1.2 Program of Work

- a. Formulate recommendations to X3 on new domestic and international standards requirements. Review proposed standards for those items which fall within the scope of X3.
- b. Develop and maintain X3/SD-1, Master Plan, to include statements of X3 goals, objectives, methods, plans and policies.
- c. Develop and maintain X3/SD-3, Project Proposal Guide, and X3/SD-5, Standards Criteria
- d. Analyze and evaluate promptly all proposals to X3 for new or revised standard development projects against the requirements and criteria prescribed in X3/SD-3 and X3/SD-5. Provide evaluation reports and recommendations, as appropriate, for X3 action.
- e. Organize and manage Study Groups (SGs) as needed to assist in the analysis and evaluation of project proposals, or request such study support from other subgroups as appropriate.
- f. Organize and manage the processes needed to study one or more closely related computer and information processing technology topics and to prepare advisory reports for guidance to designated parts of the X3 community.

- g. Examine and .advise X3 on all draft proposed American National Standards (dpANS) being submitted to X3 to ensure that they meet the criteria of: 1) development originally approved for the subject project, and 2) the requirements and criteria of X3/SD-3 and X3/SD-5 at the current date, taking into account any technological or economic changes during the development cycle.
- h. Advise X3 on proposed ISO/TC97 projects and draft standards on subjects where an X3 subgroup does not exist. This is done in accordance with the criteria of acceptability for similar domestic proposals.
- i. Monitor, manage and validate the initiation and development of all projects in accordance with X3 direction.
- j. Monitor "Future Trends" for X3 and coordinate "Future Trends" reports from X3 subgroups; make recommendations to X3 as needed.
- k. Act on behalf of X3 when action is required by international organizations on all program items and a timely response is not otherwise possible. SPARC reports all such actions to X3.

2.2 X3 INTERNATIONAL ADVISORY COMMITTEE (IAC)

2.2.1 Scope

IAC is an advisory committee to X3 on matters of policy and overall participation in international standards activities whose work fall within the scope of X3 and ensures X3's responses are timely.

2.2.2 Program of Work

- a. Formulate recommendations to X3 regarding U.S. policy for participation in ISO/TC97, its subcommittees and working groups and other international standards activities whose work falls within the scope of X3.
- b. Review and advise X3 on U.S. contributions and recommendations to ISO/TC97, and recommend to X3 the U.S. delegations to TC97 meetings.
- c. Recommend to X3 steps to be taken to fulfill U.S. responsibilities and uphold U.S. interests in international activities, including those of ISO, International Electrotechnical Commission (IEC), International Telegraph and Telephone Consultative Committee (CCITT), European Computer Manufacturers Association (ECMA) and other international and regional bodies.
- d. Assist the X3 Secretariat staff in orientations for International Representatives (IR) and U.S. delegations to international standards meetings.
- e. Act on behalf of X3 when action is required by international organizations and a timely response is not otherwise possible. IAC reports all such actions to X3. All program items will be referred to SPARC for action.
- f. Manage relationships as X3 designates for U.S. TAG's of international committees including IEC/TC83, ISO/TC184, etc.

X3 is responsible for carrying out those functions as prescribed by CBEMA in its capacity as Secretariat. X3 has assigned these functions to the Secretariat Management Committee

2.3.1

Scope

SMC is an advisory committee to X3 for carrying out those functions as prescribed by CBEMA in its capacity as Secretariat.

2.3.2

Program of Work

The responsibilities designated to SMC by X3 are the following:

- a. Elects the Chair, Vice Chair and IR of all X3 subgroups except SMC and ad hocs via the SMC letter ballot process.
- b. Reviews the appointment of Secretaries of all TCs.
- c. Seeks candidates for officer vacancies on TCs.
- d. Is responsible for drafting and recommending to CBEMA the procedures for operation of X3 and its subgroups (X3/SD-2), assuring they are in compliance with ANSI procedures and amending them as necessary.
- e. Reviews the procedures developed by each X3 subgroup to supplement the procedures of X3/SD-2 prior to their use within the subgroup to assure compliance.
- f. Reviews and assures X3 that all applications for membership on X3 are in accordance with the procedures contained within this document.
- g. Reviews administrative matters of note for X3 and its subgroups, recommending or taking action to assist the process and assure good management practices are followed.
- h. Reviews and approves the requests to host all international meetings in the U.S. If there are budget implications for the X3 secretariat, SMC submits its decision to CBEMA for final approval action.
- i. Monitors the monthly budget reports and makes appropriate recommendations on cost monitoring, resources and revenue.
- j. Makes recommendations to CBEMA on service fees and structures.
- k. Makes recommendations to CBEMA on requests for waiver of service fees. Final decisions are made by the CBEMA President and appeals may be made to that office.

2.8 SUBCOMMITTEES

2.8.1 Background

One of X3's responsibilities is to participate as the U.S. TAG for ISO TC97. This participation is complicated in certain areas of standardization by the structure of TC97 which includes an organizational level (the TC97 Subcommittee) which can be responsible for a subject matter area of a wider scope than that assigned to any one X3 TC. This can result in the establishment of a domestic group which deals with the international standardization of a broad spectrum of associated subjects, each of which may be addressed individually by a different TC in the X3 structure. In addition, there are entities serving as liaison to some elements of TC97/SCs which were the former monitor groups in what used to be X4. For the purposes of Section 2.8 they will be grouped together and classified as X3 Subcommittees. Thus, when no one X3 TC has the expertise or interest necessary to serve as the U.S. TAG to that ISO/TC97/SC such expertise and interest must be provided by the members of a number of X3 TCs working together. The X3 Subcommittee provides the forum for this working relationship.

Another of X3's responsibilities is to strive for appointment as U.S. TAG to other international TCs in ISO or IEC where the scope of that TC overlaps or parallels that of TC97. If such assignment is made to X3, a corresponding Subcommittee must be formed which combines existing expertise of one or more X3 TCs with other available interested parties. As with the TC97/SC TAG above, the X3 subcommittee provides the forum for this working relationship.

2.8.2 Establishment/Management

Subcommittees are under the direction of X3 for administrative and management matters. They may be assigned specific additional duties by X3, complementary to the main TAG objectives. Subcommittees are established by X3 to deal with special international issues which involve subjects of a wider scope than those assigned to individual TCs, TGs or SGs.

2.8.3 General Mission

Generally, the Subcommittee mission is to serve as the U.S. TAG to a specific ISO TC97/SC (or other ISO/TC or IEC/TC) whose range of activities are comprised of the activities of more than one X3 TC. (See also Paragraph 10 for additional discussion of U.S. TAG responsibilities).

2.8.4 Charter

X3 prepares a Scope and Program of Work as the charter for a Subcommittee. This charter contains guidance and constraints on carrying out the Subcommittee charter. After approval of the charter by X3, the Subcommittee may recommend modifications at any time to IAC. With this structure the TAG/Subcommittees will operate like X3TC's. SPARC will oversee the technical program activities and IAC will review international policy matters.

Because of the unique nature of the Subcommittee mission as a U.S. TAG, the Subcommittee will include in its membership, at least, the IR from each of the X3 subgroups which work directly within the areas covered by the scope of the ISO TC97/SC (or other international TC) for which the X3 Subcommittee is the TAG, unless specifically stated otherwise in the charter. These IRs appointed to the Subcommittee will retain their membership as long as they hold that TC office and abide by X3 membership rules specified for the Subcommittee.

In some cases, it may be necessary for the TC to appoint a substitute member replacing its IR on the subcommittee. This individual may be any TC member so designated by the TC Chair, and will retain that subcommittee designation until replaced or withdrawn by the TC Chair.

The IRs or substitute replacements constitute the voting membership of the subcommittee. There are no service fees for voting members and the subcommittee Chair.

Other individual experts in the subject matter area assigned to the subcommittee who are willing and able to participate may also join a subcommittee as nonvoting members upon application to the subcommittee Chair and payment of a service fee. Special rules for maintaining nonvoting membership may be determined by the subcommittee.

In cases where the charter of a subcommittee calls for special membership other than that specified above, the charter will also contain the membership criteria.

apply except that voting rights are immediately granted to all present at the organizational meeting.

Voting membership in SMC, IAC and its subgroups, SPARC and its SPARC SGs is limited to employees of U.S. domiciled organizations who reside in the U.S.

Voting membership in the X3 TCs and their TGs is open to any individuals directly and materially affected by the scope of the subgroup and willingness to participate regularly. Members who are employees of non-U.S. domiciled organizations may not vote on questions establishing the U.S. position on an international matter.

6.2.2 Other Members (NonVoting)

The Chair of any subgroup is an Ex Officio member of the next higher group. SPARC and IAC members assigned to coordinate the work of a subgroup are Ex Officio members of that subgroup and as such must receive all committee documentation. The X3 Secretariat, ANSI Secretariat, officers of the subcommittees and Chairs of U. S. held secretariats of TC97 Subcommittees are ex officio members of IAC. The Director of the secretariat staff is an ex officio member of the SMC. The Chair and Vice Chair of X3 are ex officio members of all subgroups.

Liaison representatives may be designated to X3 TCs from other U.S. and non-U.S. standards bodies. Requests for liaison representation from non-U.S. standards bodies to X3, IAC, or SPARC must be approved by SMC.

6.2.3 Observers

Anyone may become an observer to SPARC or X3 TCs or TGs by paying the appropriate service fee.

6.3 Membership Chart (see section 6)

<u>Organization</u>	<u>Type</u>	<u>Eligibility</u>
X3	Voting Members	Organizations approved by SMC and reviewed by the ISSB. One principal and one or more alternate members.
	Ex Officio	Chairs of IAC, SMC, SPARC, SCs and TCs.
	Liaison	Representatives of other U.S. and non-U.S. standards bodies approved by SMC.
	Observers	Chairs of ISSB and SPMC, the ANSI Secretariat, members of IAC, SPARC, and TC officers (other than the Chair). Anyone else who applies and pays appropriate service fees.
<hr/>		
IAC	Voting Members	Limited to employees of U.S. domiciled organizations who reside in the U.S.
	Ex Officio	X3 and SPARC Chairs, X3 Vice Chair, X3 Secretariat staff, ANSI secretariat staff, officers of the Subcommittees and Chairs of U.S.-held secretariats of TC97 subcommittees.
	Liaison	None
	Observers	None
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SPARC	Voting Members	Limited to employees of U.S.-domiciled organizations who reside in the U.S. Limited to 20 with a majority from the X3 "nonproducer" category organizations. One principal and one or more alternate members.
	Ex Officio	X3 and IAC Chairs and Vice Chair of X3.
	Liaison	Representatives of other U.S. and non-U.S. standards bodies upon request (Non-U.S. standards bodies must be approved by SMC.)

Observers

Anyone interested who pays appropriate service fees.

SMC	Voting Members	Elected by X3 from X3 voting member organizations.
	Ex Officio	Chairs of X3 and SPMC and the Director of the X3 Secretariat.
	Liaison	None.
	Observer	None.

Subcommittee	Voting Members	The International Representative from each of the X3 subgroups working directly within the areas covered by the scope of the ISO TC97/SC (or other appropriate international bodies) for which the Subcommittee is the TAG. Any other individual having substantial concern with and competence in the scope of the Subcommittee and a willingness to participate who is employed by a U.S.-domiciled organization.
		(Note: Other or different criteria for membership may be established in the Subcommittee charter.)
	Ex Officio	Chairs of X3 and IAC and X3 Vice Chair and the IAC member assigned to coordinate the work of the Subcommittee.
	Liaison	Representatives of other U.S. and non-U.S. standards bodies upon request. Non-U.S. standards bodies must be approved by SMC.
	Observer	None

Technical
Committee

Voting Members

Any individuals having substantial concern with and competence in the scope of the Technical Committee and a willingness to participate. Members who are employees of non-U.S. domiciled organizations may not vote on questions establishing the U.S. position on an international matter. One principal and one or more alternate members.

Ex Officio

Chairs of IAC, SPARC and X3 and Vice Chair of X3. SPARC and IAC members assigned to coordinate the work of the TC.

Liaison

Representatives of other U.S. and non-U.S. standards bodies upon request.

Observers

Anyone interested, who pays the fees.

Study Groups

Voting Members

Any individual having substantial concern with and competence in the scope of the study group and a willingness to participate who is employed by a U.S.-domiciled organization and lives within the U.S. One principal and one or more alternates.

Ex Officio

Chair of SPARC and the SPARC member assigned to coordinate the work of the Study Group.

Liaison

Representative of other U.S. standards bodies upon request.

Observers

Anyone interested who pays the service fees and lives within the U.S.

Task Group

Voting Members

Any individual having substantial concern with and competence in the scope of the Technical Committee and a willingness to participate. Members who are employees of non-U.S. domiciled organizations may not vote on

9. PROCESSING PROJECTS TO DEVELOP AMERICAN NATIONAL STANDARDS

9.0 GENERAL

The standardization process within X3 is shown in Appendix 2. While this description is based on the assumption that a proposal progresses normally from beginning to successful completion, it must be remembered that at any point in the cycle up to just before publication of an approved standard, the process may be interrupted and the project referred back for further work beginning at any earlier step, or it may be aborted, if so warranted.

9.1 PLANNING PHASE

The first phase of the standardization process is the examination of a Project Proposal that X3 undertake development of a new standard or a revision of a published standard and terminates with the approval by X3 that such a project be established. Work in this phase is primarily the responsibility of SPARC. Referring to the milestones of Appendix 2, the successive steps are:

Description

Milestone

- 0 A Project Proposal may be developed by any individual or organization whether or not affiliated with X3. Project Proposals should be developed in accordance with the format of X3/SD-3 and the criteria in X3/SD-5. Project Proposals are submitted to the X3 Secretariat for distribution to SPARC. If not already in the format specified in the X3/SD-3, the originator may later be requested to modify the Project Proposal to conform with the X3/SD-3.

Milestone

- 1 If SPARC's preliminary review, possibly including communication with the author(s), indicates the subject is within X3's scope and that there is apparently substantial support, SPARC accepts the proposal for formal study.

Milestone

- 2 If the Project Proposal is found by SPARC to essentially satisfy the requirements of X3/SD-3 and SD-5, SPARC may directly approve, with or without modification, the Project Proposal as a recommendation to X3. The recommendation includes a suggested placement of the project in an X3 subgroup. In this case, steps 2, 3 and 4 are compressed and completed by SPARC itself. If an appropriate TC does not exist, SPARC may recommend creation of a new TC.

When the subject proposed project closely relates to an already established X3 project for which there is already an SG or TC, SPARC may request that subgroup to prepare the recommendation. In other cases, if appropriate, based on the subject matter of the Project Proposal, SPARC develops and, by formal motion, approves the charter for an SG (See section 2.6.2) to review the proposal, collect additional information and draft a recommendation to SPARC based on its findings.

In all cases, SPARC documents the acceptance of the study project. The X3 community is advised by distribution of an X3 numbered document.

Milestone

3

If an SG is required, the SG is established by SPARC and appropriate Press Releases are prepared and distributed by the X3 Secretariat. The SG solicits contributions from any competent source. In the SG decision process, consensus of the SG members is sought. However, **the SG task is that of fact-finding, rather than standards-writing**, and, therefore, complete agreement on all points is not essential. **An SG may produce one or more reports and/or Project Proposals.**

Any dissenting or negative contributions must be included with a **majority-approved document**. If the SG finds it cannot reach consensus, it reports to SPARC, in writing, the information collected and the absence of agreement.

Milestone

4

If an SG prepares a Project Proposal, processing reverts to Milestone 1.

An SG report is forwarded to SPARC for appropriate action which may include a request for X3 approval of the report for publication by the Secretariat.

Milestone

5

Project Proposals forwarded to X3 by SPARC are the subject of a 30-day X3 letter ballot, with information copies of the Project Proposal concurrently sent to the entire X3 distribution list as well as the ISSB's Natinal Standards Coordinating Committee (NSCC). TC Chairs are responsible to advise X3 of any potential impact of the proposed new project on existing projects and to request liaison, if appropriate.

The **SPARC recommendation for assignment** of the project, if approved, is **included on the ballot**. Voting is conducted in accordance with section 8.

If there are negative comments, these comments, Reconsideration Ballot, and the final results of the Letter Ballot, i.e., after conclusion of the Reconsideration Ballot, are referred to SPARC. If the project proposal originated in an X3 Subgroup other than SPARC, the comments are simultaneous forwarded to that subgroup. In either

case, it is the responsibility of SPARC to ensure that an attempt is made to resolve the negative (on behalf of X3), and that the comments are responded to by the X3 subgroup which originated the project proposal. Pending the response to comments, further action on the project is held in abeyance.

When there are no negative comments or when responses are issued to the negative comments above, the X3 Secretariat announces the ballot results, the assignment of the project, and the project number assigned by the X3 Secretariat is entered into the X3/SD-4 with the appropriate letter designation.

The X3 Secretariat will issue a Press Release announcing the establishment of the project and any resulting subgroups and soliciting technical contributions and membership.

The second phase of the standardization process is the development of the draft standard by an X3 TC.

Referring to Appendix 2, the successive steps are:

Description

Milestone

6

The TC develops a detailed work plan for completing a draft proposed standard mapped to milestones in Appendix 2. The program of work in the project proposal approved by X3 will usually be stated in broad terms and time periods. The TC will prepare a timetable for completion of the project related to their meeting schedule. This will be more explicit for the near term, particularly in cases when several years of work is foreseen. At a minimum, the TC will review and/or revise the work plan as part of its Annual Report presented to X3 through SPARC. Note that no technical work may be done toward a standard without an approved Project for that standard. Each standard requires its own project proposal.

Milestone

7

A preliminary draft of a standard is developed in accordance with the ANSI Style Manual and a technical editor or document custodian is assigned from the TC. Contributions may include collections of basic data, suggested drafts of text, candidate standards, etc. Contributions from any source will be accepted and considered. A call for patents on the contribution to be considered should be made to the TC members and X3 simultaneously. Use of copyrighted or patented material will be in accordance with the X3 approved policy. The TC shall be cognizant of applicable international standards activities and requirements, and shall determine at what point in the development process contributions will be solicited from these activities.

Milestone

8

The TC decides by vote at a meeting when to issue a TC letter ballot on the draft proposed standard for further processing, i.e., public review, etc. When the TC ballot is issued, the draft, including the draft Expository Remarks, and the authorizing Project Proposal (X3/SD-3), is concurrently forwarded to Chairs of those TCs with which the originating TC has a liaison, the TC's SPARC liaison and the X3 Secretariat for distribution to SPARC. The Secretariat will inform the X3 community of the TCs having reached this milestone. This process is repeated for all subsequent revisions of the document resulting in public review periods.